



03-16-05

09/028007

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Baldwin

Patent No. 6,813,868

Issued: November 9, 2004

Confirmation No. 6430

Atty. File No.: 50012-00004

For: "METHOD, SYSTEM AND  
APPARATUS FOR HANDLING,  
LABELING, FILLING AND  
CAPPING SYRINGES"

STATEMENT OF ASSIGNEE UNDER 37  
C.F.R. § 1.324(b)(3) FOR CORRECTION  
OF INVENTORSHIP

EXPRESS MAIL MAILING LABEL NO.: EV338034055 US  
DATE OF DEPOSIT: March 14, 2005

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES  
POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 C.F.R. 1.10  
ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE COMMISSIONER FOR PATENTS,  
P.O. Box 1450, Alexandria, VA 22313-1450 ON 3/14/05

TYPED OR PRINTED NAME: Natalie D. Altum

SIGNATURE: Natalie D. Altum

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

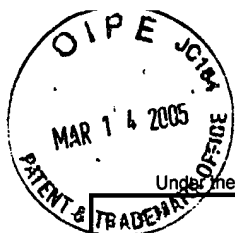
Dear Sir:

I, Randall W. Smith, Vice President of Technology for Baxa Corporation, hereby declare that Baxa Corporation is the assignee of the entire right, title and interest for the above-identified U.S. Patent as evidenced by the attached Statement Under 37 C.F.R. 3.73(b). In accordance with 37 C.F.R. § 1.324(b)(3), Baxa Corporation hereby declares that it agrees to the change of inventorship for the above-referenced patent whereby James Conrad Morton is deleted as an inventor.

BAXA CORPORATION

Date: 14 March 2005

By: Randall W. Smith  
Randall W. Smith  
Vice President of Technology



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Baxa CorporationApplication No./Patent No.: 6,813,868 Filed/Issue Date: November 9, 2004Entitled: METHOD, SYSTEM AND APPARATUS FOR HANDLING, LABELING, FILLING AND CAPPING SYRINGESBaxa Corporation, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or2. ☐ an assignee of less than the entire right, title and interest.The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014437, Frame 0396, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

14 March 2005  
Date

N/A

Telephone number

Randall W. Smith

Typed or printed name

Randall W. Smith

Signature

Vice President of Technology

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



UNITED STATES PATENT AND TRADEMARK OFFICE

50012-00004

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

MARCH 23, 2004

MARSH FISCHMANN & BREYFOGLE LLP  
THOMAS R. MARSH, ESQ.  
3151 SOUTH VAUGHN WAY, SUITE 411  
AURORA, COLORADO 80014

PTAS

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\*102541274A\*

MAR 26 2004

MARSH FISCHMANN & BREYFOGLE LLP

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/02/2003

REEL/FRAME: 014437/0396  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

BALDWIN, BRIAN EUGENE

DOC DATE: 08/13/2003

ASSIGNOR:

MORTON, JASON CONRAD

DOC DATE: 08/13/2003

ASSIGNEE:

BAXA CORPORATION  
14445 GRASSLANDS DRIVE  
ENGLEWOOD, COLORADO 80112

SERIAL NUMBER: 09928007  
PATENT NUMBER:

FILING DATE: 08/10/2001  
ISSUE DATE:

014437/0396 PAGE 2

ALLYSON PURNELL, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

09-04-2003



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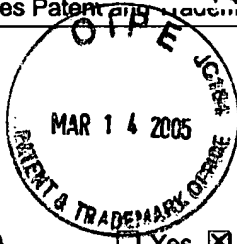
Tab settings → → → ▼ ▼ ▼

To the Director of the United States Patent and Trademark Office

attached original documents or copy thereof.

1. Name of conveying party(ies):

Brian Eugene Baldwin  
Jason Conrad Morton



Additional names(s) of conveying party(ies)

☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: Baxa Corporation

Internal Address: \_\_\_\_\_

Street Address: 14445 Grasslands Drive

City: Englewood State: CO ZIP: 80112

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other \_\_\_\_\_

Execution Date: August 13, 2003

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

09/928,007

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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OPR/FINANCE

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Thomas R. Marsh, Esq.

Internal Address: \_\_\_\_\_

MARSH/FISCHMANN & BREYFOGLE LLP

09/03/2003 ECUOPER 00000069 09928007

01 FC:8021

40.00 OP

Street Address: 3151 South Vaughn Way, Suite 411

City: Aurora State: CO ZIP: 80014

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

50-1419

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Thomas R. Marsh, Esq.

August 26, 2003

Name of Person Signing

Signature

3

Date

Total number of pages including cover sheet, attachments, and document:

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services

Director of the United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450

## ASSIGNMENT

WHEREAS, we, **Brian Eugene Baldwin**, residing at 7891 South Argonne Street, Centennial, Colorado 80016, and **Jason Conrad Morton**, residing at 8976 South Sanderling Way, Littleton, Colorado 80126, have invented a certain new and useful invention entitled "METHOD, SYSTEM AND APPARATUS FOR HANDLING, LABELING, FILLING AND CAPPING SYRINGES", for which an application for Letters Patent of the United States has been prepared and filed on August 10, 2001, receiving Serial No. 09/928,007, and further identified as Attorney File No. **50012-00004**.

NOW THEREFORE, be it known that we, the said inventors, for and in consideration of certain good and valuable consideration, the sufficiency and receipt of which is hereby acknowledged, at the request of the assignee do sell, assign and transfer unto said assignee, **Baxa Corporation**, a Colorado corporation having a place of business at 14445 Grasslands Drive, Englewood, Colorado 80112, its successors, legal representatives and assigns, the aforesaid application for the territory of the United States of America and all continuation, divisional, continuation-in-part and reissue applications, all patent applications in foreign countries, all applications pursuant to the Patent Cooperation Treaty, and all applications for extension filed or to be filed for the invention, and all Letters Patent, Invention Registrations, Utility Models, Extensions or Reissues and other patent rights, obtained for the invention in the United States or any other country; we also assign any right, title or interest in and to the invention which has not already been transferred to the assignee; we warrant that we have made no assignment of the invention, application or patent therefor to a party other than **Baxa Corporation** and we are under no obligation to make any assignment of the invention, application, or patent therefor to any other party; and we further agree to cooperate with the assignee hereunder in the obtaining and sustaining of any and all such Letters Patent and in confirming assignee's exclusive ownership of the invention, but at the expense of said assignee.

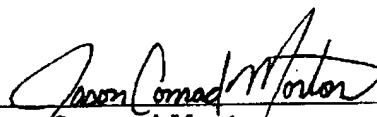
The Commissioner of Patents is hereby authorized and requested to issue the Letters Patent solely in accordance with the terms of this Assignment, to **Baxa Corporation**, its successors, legal representatives and assigns, as the assignee of the entire right, title and interest therein.

IN WITNESS WHEREOF, the parties hereto have executed this Assignment as of the date indicated hereunder.

Date: 8-13-03

By:   
**Brian Eugene Baldwin**

Date: August 13, 2003

By:   
**Jason Conrad Morton**

STATE OF Colorado )  
 ) ss.  
COUNTY OF Arapahoe )

Before me, a Notary Public in and for said County and State, personally appeared **Brian Eugene Baldwin**, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and considerations therein expressed.

Given under my hand and seal of office this 13<sup>th</sup> day of August, 2003.

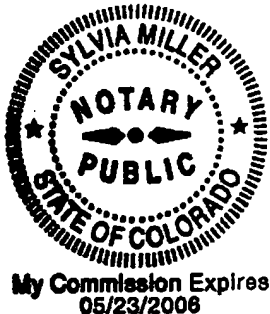


Sylvia Miller  
Notary Public Sylvia Miller  
My Commission Expires: 5/23/06

STATE OF Colorado )  
 ) ss.  
COUNTY OF Arapahoe )

Before me, a Notary Public in and for said County and State, personally appeared **Jason Conrad Morton**, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and considerations therein expressed.

Given under my hand and seal of office this 13<sup>th</sup> day of August, 2003.



Sylvia Miller  
Notary Public Sylvia Miller  
My Commission Expires: 5/23/06



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Baldwin

Patent No. 6,813,868

Issued: November 9, 2004

Confirmation No. 6430

Atty. File No.: 50012-00004

For: "METHOD, SYSTEM AND  
APPARATUS FOR HANDLING,  
LABELING, FILLING AND  
CAPPING SYRINGES"

STATEMENT OF NAMED INVENTOR  
UNDER 37 C.F.R. §1.324(b)(2) FOR  
CORRECTION OF INVENTORSHIP

EXPRESS MAIL MAILING LABEL NO.: EV338034055 US  
DATE OF DEPOSIT: March 14, 2005

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES  
POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 C.F.R. 1.10  
ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE COMMISSIONER FOR PATENTS,  
P.O. Box 1450, Alexandria, VA 22313-1450 ON 3/14/05

TYPED OR PRINTED NAME: Natalie D. Altum

SIGNATURE: Natalie D. Altum

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

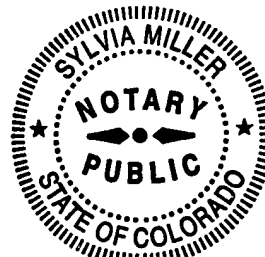
I, Brian Eugene Baldwin, am a named inventor on the above-referenced patent. In  
accordance with 37 C.F.R. § 1.324(b)(2), I hereby declare that I agree to a correction of  
inventorship for the above-referenced patent whereby Jason Conrad Morton is deleted as  
an inventor.

Date:

March 14, 2005

By:

Brian Eugene Baldwin  
Brian Eugene Baldwin





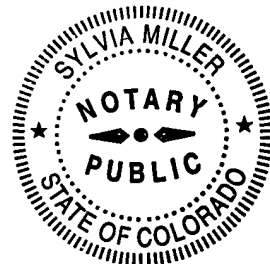
STATE OF Colorado )  
COUNTY OF Arapahoe ) ss.

Before me, a Notary Public in and for said County and State, personally appeared Brian Eugene Baldwin, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and considerations therein expressed.

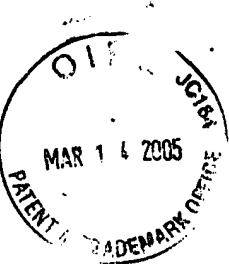
Given under my hand and seal of office this 14<sup>th</sup> day of March, 2005.

Sylvia Miller  
Notary Public

My Commission Expires: May 23 2006



My Commission Expires  
05/23/2006



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Baldwin

Patent No. 6,813,868

Issued: November 9, 2004

Confirmation No. 6430

Atty. File No.: 50012-00004

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STATEMENT OF NAMED INVENTOR  
UNDER 37 C.F.R. §1.324(b)(2) FOR  
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P.O. Box 1450, Alexandria, VA 22313-1450 ON 3/14/05

TYPED OR PRINTED NAME: Natalie D. Altum

SIGNATURE: Natalie D. Altum

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

I, Jason Conrad Morton, am a named inventor on the above-referenced patent. In  
accordance with 37 C.F.R. § 1.324(b)(2), I hereby declare that I agree to a correction of  
inventorship for the above-referenced patent whereby I, Jason Conrad Morton, am deleted  
as an inventor.

Date: 3/14/05

By: Jason Conrad Morton

Jason Conrad Morton

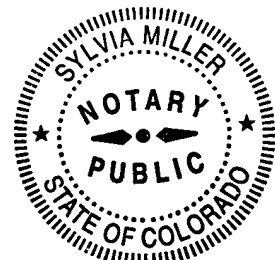
STATE OF Colorado )  
COUNTY OF Arapahoe ) ss.

Before me, a Notary Public in and for said County and State, personally appeared Jason Conrad Morton, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and considerations therein expressed.

Given under my hand and seal of office this 14<sup>th</sup> day of March, 2005.

Sylvia Miller  
Notary Public

My Commission Expires: May 23 2006



My Commission Expires  
05/23/2006



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Baldwin

Patent No. 6,813,868

Issued: November 9, 2004

Confirmation No. 6430

Atty. File No.: 50012-00004

For: "METHOD, SYSTEM AND  
APPARATUS FOR HANDLING,  
LABELING, FILLING AND CAPPING  
SYRINGES"

PETITION FOR CORRECTION OF  
INVENTORSHIP IN PATENT UNDER 37  
C.F.R. 1.324

EXPRESS MAIL MAILING LABEL NO.: EV338034055 US  
DATE OF DEPOSIT: March 14, 2005

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ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE COMMISSIONER FOR PATENTS,  
P.O. Box 1450, Alexandria, VA 22313-1450 ON 3/14/05

TYPED OR PRINTED NAME: Natalie D. Altup

SIGNATURE: Natalie D. Altup

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In accordance with 37 C.F.R. § 1.324, the Director is hereby petitioned to issue a  
certificate of correction to correct the inventorship of the above-identified patent, whereby  
Mr. James Conrad Morton is deleted as an inventor. In this regard, attached please find:


(a) Statements under 37 C.F.R. § 1.324(b)(2) from all currently named  
inventors agreeing to the change of inventorship;

(b) A statement under 37 C.F.R. § 1.324(c) from the current assignee of the  
entire right, title and interest in the above-referenced patent and a  
corresponding statement under 37 C.F.R. § 3.73(b); and

(c) A check in the amount of \$130.00 for the fee set forth in 37 C.F.R. §  
1.20(b).

In view of the foregoing, it is submitted that the requirements of 37 C.F.R. § 1.324 have been fulfilled, and a certificate of correction correcting inventorship for the above-identified patent is respectfully requested. The Director is hereby authorized to debit any required additional fee(s) or credit any excess to Deposit Account No. 50-1419.

Respectfully submitted,  
MARSH FISCHMANN & BREYFOGLE LLP

By: 

Thomas R. Marsh, Esq.  
3151 South Vaughn Way, Suite 411  
Aurora, Colorado 80014  
Atty. Reg. No.: 31,039  
Telephone: (303) 338-0997  
Facsimile: (303) 338-1514

Date: 3/14/05